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ABSTRACT

Sharing some organizational frameworks, this paper presents two groups of diagrams that have been employed in various communication classes to illustrate how theoretical understandings can be used as paradigms to help organize information in a more clarified manner. The first part of the paper discusses diagrams which are directly relevant to courses in visual communication and cinematic development. Diagrams in the first part of the paper address media/space/abstraction relationships, the spectrum of deep and flat relationships, narrative (fiction) film, and some relationships between window/frame visual analysis and realism/formalism/modernism modes of cinematic style. The second part of the paper presents three diagrams, variations on a general model of communication, more along the lines of visualizing theory in an attempt to metaphorically extend the visual analysis paradigm of the first group to the larger contexts of the communication process. Contains 5 unnumbered diagrams, 3 figures, 4 notes, and 24 references. Appendixes present a description of the functions of communication, and an organizational chart for courses in film and television theory and criticism. (RS)

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Applied Visual Research in the Classroom

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APPLIED VISUAL RESEARCH IN THE CLASSROOM

From the outset I wish to clarify that I am using the term "research" in a manner that is more akin to "applied theory," in that my goal is to share some organizational frameworks. I employ the charts presented herein in various communication classes to illustrate how theoretical understandings can be used as paradigms to help organize information in a more clarified manner. My "research" methods here have been to study existing writings, search for ways to express this material in a structure useful to my students, and continue to refine the charts over time based on my observations and commentary from colleagues and students, as well as continually apply these frameworks to a myriad of examples to determine if they indeed express what they are intended to do. As presented today, I see this material as an ongoing dialogue with fellow teacher/scholars in the field rather than a stand-alone version of a publishable article. I welcome your feedback, both in person and through the various forms of technologically mediated interfaces available to us.

What I present here is based on two groups of diagrams which originated in a metaphor of addressing visual style and meaning. The first group, which is directly relevant to my courses in visual communication and cinematic development, is based on the writings of Andrew (1984) and Zettl (1990), as elaborated in a previous CSCA paper (Burke, 1995). The second group, which was also first presented in the 1995 paper, is more along the lines of visualizing theory, in an attempt to metaphorically extend the visual analysis paradigm of the first group to be applied to larger contexts of the communication process. My purpose here is to explain the conception and application of both these groups of diagrams, largely in hopes that they may prove as useful to others as they have been for me (which is why their pages are not numbered, so that they may be copied directly for use in classes without stray, confusing semiotic markings). I also look forward to any critiques, changes, and/or additions which might

MEDIA / SPACE / ABSTRACTION RELATIONSHIPS

MEDIA	SPATIAL EMPHASIS	
	Deep	Flat
Painting	Content	Process (More Abstract)
Photography	Content	Process (More Abstract)
Cinema	Content	Process (Somewhat More Abstract*)
Video	Content	Process (Somewhat More Abstract**)
Multi-Image	Content	Content *** Process

*Like painting and photography, more avant-garde approaches lead to abstraction; however, in traditional film narrative, perceived flatness is a property of industry technology which leads to greater illusionism and concentration on story in more recent works.

**As with the above media, more emphasis on avant-garde procedure leads to abstraction; likewise, a concentration on traditional narrative technology and content implies varying degrees of perceived depth. Still, compared to the previous media, video's very use of design and delivery systems lends itself to more audience awareness of process.

***Even more so than video, multi-image is always demonstrative of its process which lends a constant sense of abstraction even to "window"-oriented individual images.

be offered that will allow me to refine these diagrams--and the theoretical concepts which underlie them--to be more accurate or broad in scope.

Visual Analysis

General Visual Communication

My first diagram, on "Media/Space/Abstraction Relationships," is the underlying analogy for my course in Visual Communication. In this form it is a simple summary of what is to me the essential difference in the manner by which a visual presents itself to a viewer: either as a deep-space imitation of the physical environment or as a flatter, more noticeably abstracted experience which requires more consideration and interpretation. I note in my class that this dichotomy of visual "attitudes" will be found in each of the major media that we will study at length during the semester (painting, photography, cinema, video, and multi-image configurations of slide projectors or video monitors) as well as their extensions into related media such as magazine advertisements, CD jackets, and computer multimedia graphics.

The essential premise here is that as an image is perceived as being relatively deeper or flatter there will be differing levels of psychological involvement and corresponding expectations of action and reaction. The deep space experience is similar to the classic film theory premise of Realism as articulated by Bazin and Kracauer, while the more graphically designed images that call attention to their composition, lighting, etc. are more related to the concept of film as constructed art as presented by Eisenstein and Arnheim. From these seminal writers I have taken the concepts of "window" and "frame," with the former referring to the deep space experiences that conjure up an illusion of reproduced environment unfolding in time before the viewer's eyes (at least by implication in still imagery) and the latter identifying the more abstract renderings that may still convey clear content but also aspire to reveal and revel in their means of production (Andrew, pp. 12-19).

Put another way, Zettl (1990) presents a dichotomy between images that encourage a more objective "looking at," where the viewer is stimulated to size up the journalistic concerns of who, what, where, why, and how vs. the subjective experience of "looking into" the implied meaning and psychological appeal of the inner orientation of the image (pp. 209-217). From these established concepts of objectively "looking at" the seemingly realistic content of the window view and subjectively "looking into" the arbitrary arrangements of design factors that inhabit a specifically arranged frame space, I have elaborated in my "Spectrum of Deep and Flat Relationships" diagram a more detailed explanation of the characteristics of windows and frames. Essentially, what is described above and presented in the previous diagram would properly be referred to as Classic Window and Classic Frame conceptions, because these are the ones that most traditionally call for clear distinctions in the perceptual and behavioral responses of the viewers. However, from the very outset an understanding must be reached about the role of technique in both of these modes of visualization.

While window imagery basically is constructed to hide the display of technique through such tactics as "invisible" brush strokes and editing or precision burning, dodging, spotting, and retouching of photographs and frame imagery is much more likely to feature paint drips, exposed joints, jump cuts, and the like, both of these approaches are meticulous in using properly controlled procedures to draw out appropriate viewer responses. Technique must be appropriate to content and purpose, so that window imagery must intentionally "bury" its working procedures to force viewer concentration on plot, script, dialogue, message, and purpose; similarly, frame structures must display their methodologies as an inherent aspect of exploring not just the content but also the form of their arts, calling both into question for the deeper levels of consideration required of their audiences. While the window approach in photography, cinema, and video is most often associated with popular art and commercial products, this same attention to representationalism in the service of

THE SPECTRUM OF DEEP AND FLAT RELATIONSHIPS

CONTEXT
(personal, cultural, historical) affects all viewer responses

Objectivity, "looking at" tendency* <----------> Subjectivity, "looking into" tendency*

"SPECIAL CASE WINDOW"

Window style but frame response.
Depth of character development.
Strength of viewer affiliation with image.
More personal, emotional response.
Psychological and subjective.
Often a strong persuasive, attitude-driven documentary feel in photos, films, and investigative journalism.

"CLASSIC WINDOW"

See through technique to subject, even when technique is somewhat obvious.
Plot/message driven.
Basic sense is one of intellectual acknowledgement of the form and purpose of the content.
3rd person attitudes.
Commercial films, portraits, landscapes, informational documentaries, home movies, some ads--especially in magazines.

"SPECIAL CASE FRAME"

Foregrounds technique to draw attention.
More a "why" than a "what," but most TV ads, news, talk shows, sports, games, soaps, music videos, magazine ads, magazine/newspaper/multi-image/multimedia layouts more so than films are the products here and tend to have a window-like, subject-driven purpose. Films in this category lean toward Classic Frame.

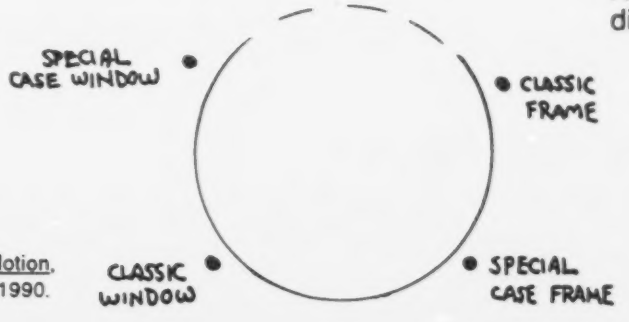
"CLASSIC FRAME"

More emphasis on abstraction, sensation, contemplation.
Deeper exploration, challenge, attention to response and process.
Clearer sense of flat space.
1st person attitudes.
Products tend toward non-objective, highly manipulated, and/or very conceptual.

A TENDENCY TOWARD ART (deeper sense of discovery)

<- A TENDENCY TOWARD ENTERTAINMENT ->
(personal and cultural maintenance, often a clear sense of merchandising)

A TENDENCY TOWARD ART (deeper sense of discovery)



*taken from Zettl, H., Sight Sound Motion, 2nd ed., Belmont, CA: Wadsworth, 1990.

narrative easily characterizes several centuries of western fine art in classical and Renaissance-to-Revolutionary times. In the same manner, Classic Frames foreground technique so that design elements, structural/semiotic elements, or the technical processes of image production themselves may be highlighted and dwelt upon. This inevitably leads away from the perception of a panoramic window view to the realization of an arbitrary frame of organization, where every element is unmasked and showcased for its unique properties, not just its contributions to servicing a larger message. These types of images are inherently of the highly symbolic sort that characterize the ritual figures of mandalas and sand paintings throughout history or that spring from twentieth century self-consciousness about form, intention, and ideology. Still, there are window and frame experience that display more complex tendencies, becoming for me "special cases" of the two major categories.

Special Case Windows offer the same perceptual sense of verisimilitude as do the more complexly disguised windows of commercial cinema and the landscape/ portrait/still life tradition, but now instead of "looking at," identifying, and coming to a sense of understanding (which often includes satisfaction, control, and ownership [Berger, 1972]), the viewer response is intended to be more psychologically involved, more related to the "looking into" of frames where the impact of the content--as in Depression-era Dorthea Lange photographs--requires a heartfelt identification and reaction, rather than the sort of cerebral understanding that accompanies a Raphael religious scene or the visceral surface response evoked by a Spielberg special effects barrage. Special Case Windows are the most "realistic" looking of all images--often because technique is kept to a minimum through natural lighting, authentic locations, citizens rather than actors captured in midstream--but rather than allowing us the controlling satisfaction of "looking at," absorbing at a glance in a knowing manner, these images force us to look deeper into the human experience where emotion overrides intellect, bringing us into true communion with the subjects depicted. Like the Classic

Frame images of a more flat, abstract, constructed nature, these Special Case Windows display more of a tendency toward art than entertainment, more of a sense of sublime innovation and discovery than of necessary social ritual.[1]

Similarly, there are Special Case Frame images which foreground their technique to a degree but have a purpose that is more like the Classic Window image. This combination of obvious technique put to ritual, explanatory, or mercantile purposes is most known in the modern world in magazine ads, most television programs (except for dramatic series, which are structured in a more cinematic fashion--although, as I noted above, the entire television experience is related to Special Case Frame considerations because of the fragmented nature of television programming and the "talking furniture" nature of the TV delivery system), and the visually complex structures of projected multi-image or computer based multimedia. Unlike Classic Frames, here the question is more "what" than "why," but the experience is one of encountering this "what" through bold design, computer graphics, layers of texture and rendered data, flying logos, rapid cutting, and vast mixtures of styles. Yet the end result is not so much to intrigue the deeper realms of the soul and the intellect but rather to catch attention, to provide readers and viewers to advertisers, to promote music sales, to thunderously launch a new line of automobiles. Unlike the subdued brush strokes and integrated lighting of Classic Windows, Special Case Frames are eager to display their technique, often in a disarming fashion to draw the consumer in through the guise of news, entertainment, or spectacle, all the way preparing the way for a sales pitch or at least an exposure opportunity. Even commercial films occasionally enter this arena, with such postmodernist visual spectacles as the Robert Rodriquez-Quentin Tarantino collaboration From Dusk Until Dawn, which overdoes crime spree/slasher/vampire/ Night of the Living Dead type structures to the point of losing any sense of narrative purpose, but yet clearly is intended to be "looked at," recognized, amused by, rather than to be pondered as technique for inspiration's sake.

David Miles (1995) presents an interesting comparison between Classic Window and Special Case Frame approaches to television car commercials by comparing a 90-second 1957 black-and-white Edsel spot, which conjures up illusions of Renaissance perspective and a product highlighted against its background, to a 30-second 1992 color Volvo ad, a montage of design, image, and sound (which he refers to as cubist television); yet, both are designed to sell cars not stimulate the aesthetic considerations of their viewers. He concludes his study by summarizing that:

> three major aspects of cubist television are exemplified in the Volvo commercial: (1) the destruction of Aristotelian viewer-to-stage distance through the use of the close-up; (2) the flattening of Renaissance deep-background perspective through the use of the telephoto zoom; and (3) the implementation of an angled vision-in-motion through the use of the studio robotcam or steadicam. Unveiling details rather than scenes, flat images rather than panoramas, and delivering dramatic glimpses instead of arching narratives, cubist television pushes the edges of our everyday perception. No longer steering with a [McLuhanesque] rearview mirror, Madison Avenue has carried us into new territory. (pp. 39-40).

I would extend his argument and say that much of what constitutes the modern television experience--from newscasts and news magazines, to music videos, to talk shows, as well as the ads--could be analyzed from this cubist television perspective, just as could magazine and computer multimedia "pages," all under the notion of the Special Case Frame.

Ultimately, in my second diagram and probably with most attempts to visualize something by means of a spectrum structure, the comparison between window and frame allows us to see that certain types of windows have more in common with certain types of frames than they do with other windows and vice versa. That is why I "round off" the diagram with a circular rendering of the spectrum that shows the full connection among all of these visual states, acknowledging that two-dimensional spectral representations often imply a more accurate circle or cylinder mode where the two outside, extreme points are actually as close to each other (at least from certain perspectives) as they are to their more traditional relatives. Here the connective tissue is not visual style--because the extremely "realistic" Special Case Window is

perceptually far removed from the calculated flat patterns of the Classic Frame--but the communicative purpose of art: discovery of the deeper regions of the human psyche. This is not to say that Special Case Windows and Classic Frames constitute the sole domain of art, because there are many Classic Windows (Renaissance to Realist paintings, some Realism cinema) and Special Case Frames (Impressionism, some montage-based documentary films) that follow the art tendency toward discovery more than the entertainment tendency toward cultural ritual, but the overriding pattern of these images as I interpret them is for the middle terms of my diagram to represent more mercantile purposes and the outer terms to represent more challenging and deeply felt experiences.

A final pair of related clarifications about windows and frames also must be made so that my interpretations of them may be understood in proper context. First, there is the consideration of the relationship between form and content. I don't wish to be misinterpreted as thinking that visual artists consciously choose a variation of window or frame style to work in, which then consciously limits them to the types of content that they may engage. In a similar fashion, it seems to me that McLuhan has been misinterpreted over the years in his analyses of self-contained hot and involving cool media (which clearly has a relationship to my window-frame concept, but is not a direct correlation, as evidenced by my inclusion of his ultimate cool medium, television, in my categories that require less depth participation by their audiences). Although he is clear that a given medium is inherently hot (film) or cool (television), I do not think that he meant to say that media are chosen neutrally or accidentally by their users and thereby bring on unintended, sweeping social changes. Rather, I see his studies of human history and social orders as a means of deconstructing how given media proved themselves most appropriate for the desired or emerging self-consciousness of a society, thereby demonstrating how hot media were instrumental in enforcing a particular worldview (in this case, the expansion of the autonomy of the individual within

a system of rational order, nationalism, hierarchies, and mechanical progress). Thus, he was not proposing that media dominate social development but that the two work in synergy to re-enforce and complement each other. Similarly, I see the choice of window or frame visual styles as a means to an end for the visualizer. The presentation characteristics are an acknowledgment that there is an intended response sought from the viewers: it can best be realized when a certain stylistic approach is used to maximize the desired confluence of content (even if it is completely non-objective) and audience action/reaction. This is similar to what Buscombe (1995) notes about the convergence of style and content which is appropriate to any form of expression:

> Just as the nature of the sonnet makes it more likely you will be successful in writing a love poem of a very personal kind rather than something else, and so has grown up as a genre with both outer and inner form, so too what kind of film a western is, is largely determined by the nature of its conventions. One can put this more forcefully in a negative way: it is unlikely you will produce a good poem on a large-scale historical theme such as the Trojan War if you choose the sonnet form. So, too, if you are going to make a western, you will tend not to consider certain themes or subjects (unless, as in High Noon [Fred Zinneman, 1952], you are consciously trying to adapt the form to your purpose in an arbitrary way). (p. 15)

Related to this form and content clarification is a point noted in the explanations at the bottom of my first diagram--presented in more detail in earlier writings (1991a, 1991b, 1995)--which is that social evolution and environmental constraints may noticeably impact the perception of window or frame. That is, the actual stylistic and presentational nature of a medium may tend to render the experience in one mode while the content attempts another--as with the frame awareness of projection technology "flavoring" a window-intended multi-image program or the frame (cubist, in Miles' terms) structure of a newscast, with its graphic overlays and multi-reporter perspectives, undermining (transforming?) the window content of the reportage. Similarly, social perceptions change over time so that what was once seen as plausibly or conventionally window-like evolves to frame in another decade. This situation could be true for any medium, but it is most noticeable today as mainstream films of Hollywood's "golden age"

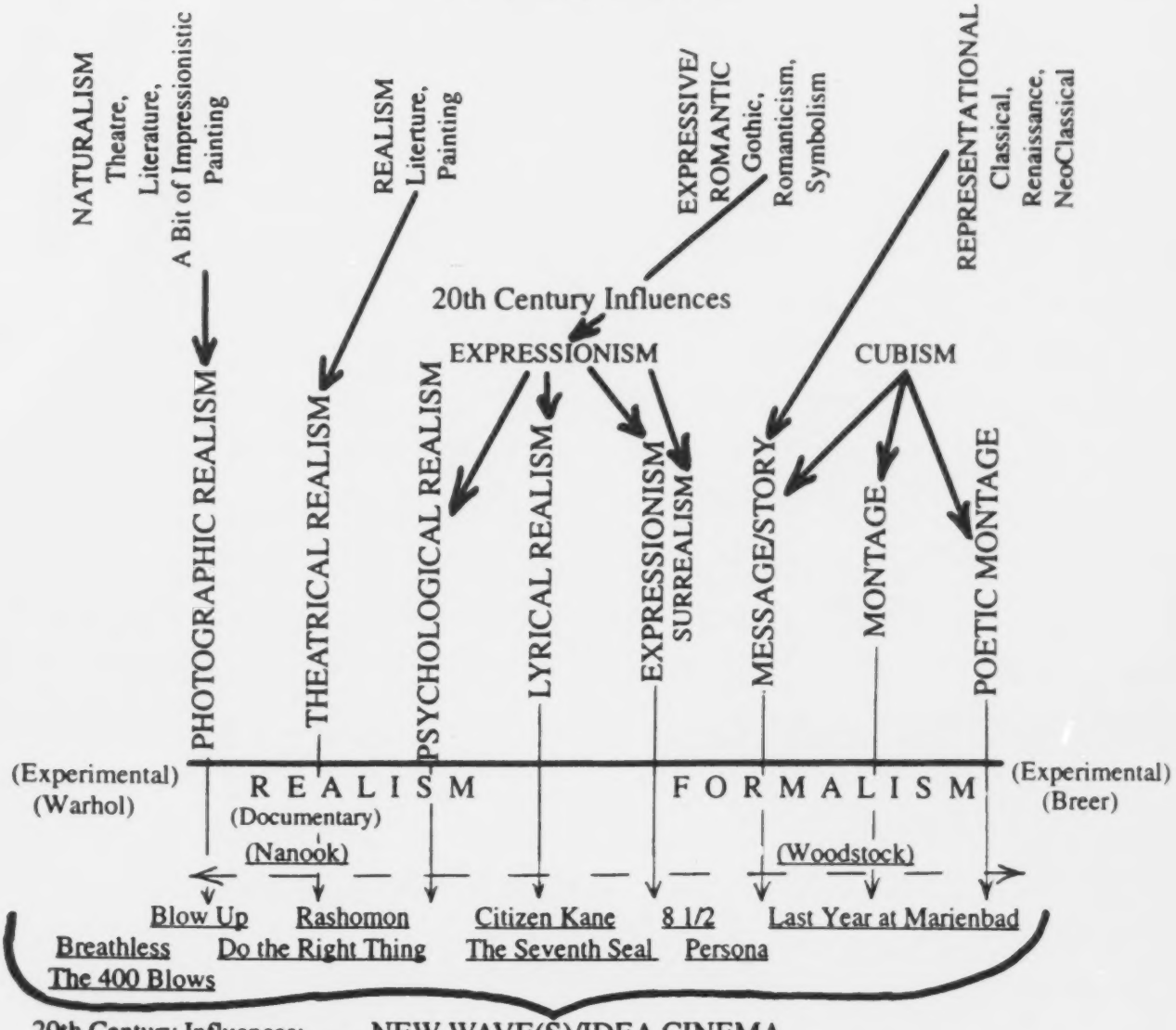
are now viewed in context of the contemporary triumphs of special effects, so that the previous standards of studio shooting and sophisticated scripts are now seen as more consciously artificial in comparison to the seeming window "reality" of dinosaurs cavorting in Jurassic Park. Thus, window and frame conceptions can be not only culturally specific but also temporally specific within a given culture.

These chronological and presentational considerations bring me to my other point that circumscribes the window-frame analytical project, that of the word "frame" itself. While I have drawn the term legitimately from renown visual aestheticians, another aspect of the same word has now informed much of communication theory in a related but different manner as "framing." As noted by Rendahl (1995), the concept of framing, from Bateson and Goffman to Pearce and many other contemporary scholars, has become a basic concept of ascribing meaning to a situation, which is not unrelated to formulating what constitutes both a window and a frame experience, but "framing" needs to be understood in the larger, metatheoretical context of all communication operations and "frame" needs to be seen as a specific approach and purpose in constructing visual images. As I noted in the 1995 paper, "border" might be a more appropriate choice of terminology than "frame" to avoid this semantic confusion, but until such time as that distinction can be more universally established I have found that the more traditional choices of "window" and "frame" are easier to clarify to my students in the existing literature of the visual analysis field. I will discuss this further below.

Specific Cinematic Stylistics

My next diagram, on narrative film, began as a natural extension of the window and frame material, this time for my course in Classic to Contemporary Cinema. Just as the window and frame analogies come from classic film theory, so do the related terms of Realism and Formalism. I have chosen to organize the first two-thirds of what is essentially a film history course (with constant connections to modern applications) around the connected stylistic-thematic "tent poles" of Realism and Formalism, which

Narrative (Fiction) Film
19th Century Influences



PHOTOGRAPHIC REALISM
Greed
(Nanook)
Grapes of Wrath
Bicycle Thief
Slacker
The Postman
Kids

THEATRICAL REALISM
City Lights
Grande Illusion
Rules of the Game
The Best Years of Our Lives
Rope
Unstrung Heroes
How to Make an American Quilt

PSYCHOLOGICAL REALISM
The Last Laugh
M
The Blue angel
Seven

LYRICAL REALISM
L'Atalante
La Strada
Daughters of the Dust
Like Water for Chocolate
A Walk in the Clouds

EXPRESSIONISM
Caligari
Metropolis
Jungle Fever
Desperado
Clockers

MESSAGE/STORY
Intolerance
Gone With the Wind
Mr. Smith Goes to Washington
JFK
Dangerous Minds
To Wong Foo... / To Die For

MONTAGE
Potemkin
Mother
Zoot Suit
Natural Born Killers
(Woodstock
Crumb)

POETIC MONTAGE
Dovzhenko
The Passion of Joan of Arc
The Color of Pomegranates

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are reflected in the next three diagrams to be explored. The graphic organization of all of my film material is based on the previous diagrams of this paper (taken from my course in Visual Communication), with the diagrammatic relationship of deep to flat moving from left to right. This reflects that the bulk of my examples (but definitely not all) shown in the Visual Communication class are from western culture of roughly the last 500 years because this tradition of window imagery still largely influences and informs our social and visual world, even as it becomes more postmodern and frame-conscious at the end of the twentieth century; from there my other charts reflect this general left-to-right, window-to-frame movement for conceptual and diagrammatic graphic consistency (especially because a good number of our students take both of these courses simultaneously), even though I begin the film history course with the unit on Formalism. This parallels the dominant cultural grounding of Visual Communication in window imagery and commercial art because Formalism is most actively and successfully expressed in the popular film category that I have tentatively entitled Message/Story. This domain of commercial cinema is more well known and influential than all of the others combined, so I start with D. W. Griffith's Intolerance and move quickly for about a month through this area, along with related montage and expressionism influences, to a contemporary example of the tradition (Spike Lee's Clockers in the fall 1995 semester that these diagrams represent).

Once I have established the concepts and practices of Formalism (which is connected to similar understandings of Classic Window and both types of frame imagery, although I do not explicitly make that connection in an attempt to not confuse those students who have not yet studied Visual Communication), I then spend about a month on what I perceive to be four variations on Realism: Photographic, Theatrical, Psychological, and Lyrical. The documentary-like aspects of Photographic Realism are most purely seen in Italian Neorealism and other films which emulate this style (much Latin American cinema, some contemporary U. S. independents such as Slacker and

Kids), but even a traditional studio product such as The Grapes of Wrath is well grounded in the Darwinian-bound Naturalism tradition that inspires this film Realism variation. Theatrical Realism, most securely grounded in the classic work of Chaplin and Renoir, but inspired by such influences as Balzac, Courbet, and Dickens, is all recognizable and structurally viable but displays the hand of the creator in a bit more acknowledged fashion in terms of the carefully orchestrated thematic choreography necessary to bring the narrative to conclusion. Psychological Realism begins as an aspect of German Expressionism, retaining the emphasis on chiaroscuro lighting and intense, emotional acting styles but, like all forms of Realism, it ultimately is more about character than plot, about "who" more so than "what" or "how." Similarly, Lyrical Realism is focused on character development, even though the environment may be as disturbing as in La Strada or as enchanted as in Like Water for Chocolate.

At this point in the semester I also begin to incorporate material about influences on cinema from other nineteenth and twentieth century art forms, all of which is diagrammed in my "Narrative (Fiction) Film" chart. I also cite related areas in filmmaking which we do not have time to cover such as experimental and documentary, noting how the range of visual styles available in narrative is present in these other types of cinematic purpose as well (from the heavily edited frame-by-frame and found footage collages of Robert Breer and the multi-image reconstruction of Woodstock to Andy Warhol's multi-hour depictions of single subjects and Robert Flaherty's photographic ethnography). The arrows in my chart that continue down from each of the eight varieties of this narrative spectrum indicate that these stylistic-thematic stances all contribute to related expressions in the experimental and documentary traditions, as well as to the Modernist-inspired films to be discussed below. The bottom part of my diagram is simply a listing of representative films from these eight main variations of Formalism and Realism, which we explore wholly or in part during the semester.

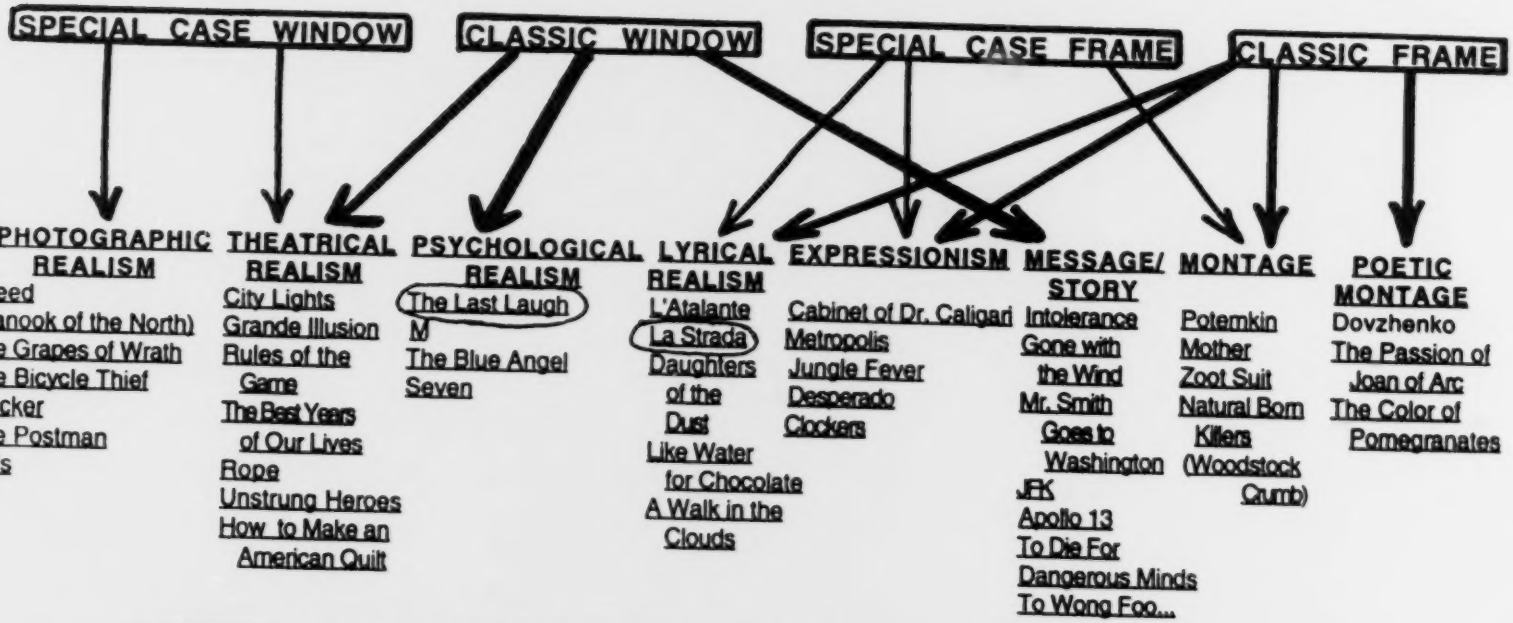
The center third of the "Narrative Film" diagram represents some of the material covered in the final third of the course, the stylistic blends of the older traditions into what is variously referred to as Modernism, New Wave, New, or Idea Cinema, beginning with Citizen Kane and continuing on through many of the modern classics. (The final weeks of the semester then shift from style to culture, as a brief attempt is made to acknowledge the presence and growing awareness/influence of filmic traditions in Africa, Latin America, India, China, and Japan; these are surveyed more for their content and sociopolitical importance--because there are other courses in the curriculum which treat U.S. minority and Third-World films in detail--though their stylistics are related to what has been established above.) These newer, more integrative, and often more challenging forms of cinema fall outside of the basic understandings of window and frame principles and reflect another influence from my primary sources, Andrew (1984) and Zettl (1990).

Andrew explains that since about 1965 older concepts of film theory (including Formalism, Realism, and related genre and auteur studies) have largely been displaced by theoretical concerns of the semiotic, structuralist, psychoanalytic, and ideological perspectives, even as these may be used to inform the older approaches. For this reason he offers the more contemporary metaphor of the mirror--which reminds us that these theoretical/critical positions are ultimately concerned with what the spectator brings to the experience more so than with how the image itself is constructed and positioned (pp. 12-13). Zettl as well notes that in addition to "looking at" for clarification and "looking into" for intensification of their content "events," images may also "create" events through style and technique used for their own sake which showcase the technical processes available in image construction (pp. 211-214). While such displays of style might be properly categorized as Classic Frame, their very existence as self-conscious process emphasizes the type of mirroring that the audience might encounter with any image, especially when it is put under the deconstructive scrutiny that

contemporary forms of theory advocate. While it could be argued that all of these technique-and/or-thematically aware examples noted in the middle band of my diagram fit the concerns of twentieth century Modernism (with more contemporary self- and socially-critical filmmakers such as Woody Allen and Quentin Tarantino being classified as Postmodernist), there are certainly qualities of the various "new waves" since the late 1950s that should be incorporated into this conception as well.

And while all of this fits rather nicely into the Formalism, Realism, and beyond structure which was inspired by the earlier window-frame dichotomies, the two do not fit together completely, as noted in the "Some Relationships. . ." diagram. The artistically inspired outside positions of the window-frame spectrum do correspond neatly enough to the visual representationalism of Photographic and Theatrical Realism at the Special Case Window end and to the variations on Montage at the Classic Frame end, but everything in the middle is reaching all over the place. The Classic Window category (where form may be quite complex but is sublimated to the impact of content) lends itself to many films in the Theatrical Realism area as well (City Lights, Rules of the Game), along with the full list of Psychological Realism films, which in itself is not a particularly difficult overlap with Special Case Window; however, the bulk of what constitutes a Classic Window image in cinema falls under the domain of the Message/Story film, which is considerably far away on the other side of the spectrum. Similarly, Special Case Frame takes in some examples of Lyrical Realism where the poetic style is still subordinate to narrative needs (Daughters of the Dust, Like Water for Chocolate), much of the world of Expressionism, and a good bit of the Montage tradition, especially the more contemporary American films on my list (certainly the older Soviet films were made with narrative, propagandistic concerns as their focus, but, again, time has altered their perception to most contemporary viewers as being more about cubist art than Marxist politics). Even the Classic Frame connections must be noted as spanning an extremely wide range to some of the more esoteric examples of

SOME RELATIONSHIPS BETWEEN WINDOW / FRAME VISUAL ANALYSIS AND REALISM / FORMALISM / MODERNISM MODES OF CINEMATIC STYLE



MODERNISM / NEW WAVE / "IDEA CINEMA" AND EXPERIMENTAL FILMS DO NOT NEATLY FIT THE ABOVE CINEMATIC STYLISTIC CATEGORIES BUT THEY DO HAVE SOME AFFINITIES WITH THE WINDOW / FRAME STYLISTIC PERSPECTIVE, AS SHOWN BY THESE EXAMPLES:

Warhol, Blow Up

The Seventh Seal

Citizen Kane, Rashomon, The 400 Blows, Breathless Do the Right Thing

Un Chien Andalou, Zero for Conduct, Last Year at Marienbad Persona, 8 1/2, Breer

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THE SPECTRUM OF DEEP AND FLAT RELATIONSHIPS

CONTEXT
(personal, cultural, historical) affects all viewer responses

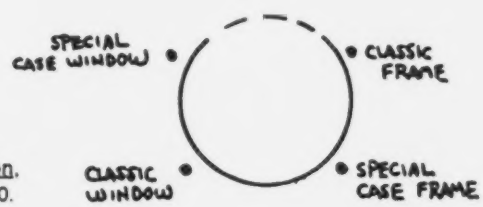
Objectivity, "looking at" tendency* ---------- Subjectivity, "looking into" tendency*

"SPECIAL CASE WINDOW"	"CLASSIC WINDOW"	"SPECIAL CASE FRAME"	"CLASSIC FRAME"
(like Realism film style [especially Photographic and Theatrical, rare case Lyrical], some Modernism	(like Formalism film style [and some cases of Psychological and Theatrical Realism], some Modernism	(like Formalism [and some cases of Lyrical and Psychological Realsim], most New Waves, much Modernism	(Formalism/avante garde [& some Lyrical Realism], some New Wave, some Modernism
The Bicycle Thief, Rules of the Game, La Strada, Blow Up)	**Gone with the Wind, The Blue Angel, City Lights, The Seventh Seal)**	**Woodstock, Daughters of the Dust, The Last Laugh, Breathless, Citizen Kane)**	**Un Chien Andalou, Zero for Conduct, Weekend, Persona)**
Window style but frame response. Depth of character development. Strength of viewer affiliation with image. More personal, emotional response. Psychological and subjective. Often a strong persuasive, attitude-driven documentary feel in photos, films, and investigative journalism.	See through technique to subject, even when technique is somewhat obvious. Plot/message driven. Basic sense is one of intellectual acknowledgement of the form and purpose of the content. 3rd person attitudes. Commercial films, portraits, landscapes, informational documentaries, home movies, some ads--especially in magazines.	Foregrounds technique to draw attention. More a "why" than a "what," <u>but</u> most TV ads, news, talk shows, sports, games, soaps, music videos, magazine ads, magazine/newspaper/multi-image/multimedia layouts more so than films are the products here and tend to have a window-like, subject-driven purpose. Films in this category lean toward Classic Frame.	More emphasis on abstraction, sensation, contemplation. Deeper exploration, challenge, attention to response and process. Clearer sense of flat space. 1st person attitudes. Products tend toward non-objective, highly manipulated, and/or very conceptual.

<-A TENDENCY TOWARD ENTERTAINMENT->
(personal and cultural maintenance, often a clear sense of merchandising)

A TENDENCY TOWARD ART (deeper sense of discovery)

A TENDENCY TOWARD ART (deeper sense of discovery)



*taken from Zettl, H., <u>Sight Sound Motion</u>, 2nd ed., Belmont, CA: Wadsworth, 1990.

Lyrical Realism (Vigo's Zero for Conduct and L'Atalante), Expressionism (The Cabinet of Dr. Caligari, again despite the overt narrative intentions it might have had in its own day), older forms of Montage (The Battleship Potemkin, Mother) and the entire category of Poetic Montage. Even with all of this potentially confusing overlap, though, there are still some examples from one viewpoint that do not mesh at all with the other viewpoint (and thus are circled on my diagram): The Last Laugh is much more Special Case Frame than other examples of Psychological Realism, but its emphasis on character development over complexities of plot would not support its inclusion in the Formalist cluster of Expressionism; similarly, La Strada stylistically and dramatically could be nothing but a Special Case Window but its experiential nature to me puts it in the realm of Lyrical Realism (although representing the darker, more tragic side of this category than its fellow examples). Likewise, the Modernist examples at the bottom of the chart somewhat flow into each other because of their thematic and structural (or at least conceptual) complexities, so they are hard to absolutely cite as clear examples of various windows or frames, but at least they represent plausible areas in that spectrum just as they reflect their various heritages in the Realist-Formalist conception.

Thus, my second "Spectrum of Deep and Flat Relationships" attempts to present a reasonable synthesis of approaches to recognizing variations on visually deep and flat imagery, and at a certain level it works rather decently to bring together the conceptualizations of these two systems. However, when the specifics of the two systems are analyzed in better detail, as noted in the previous diagram, the difficulty of resolving all nuances of the deep and flat approaches comes more to light. Still, the attempt to explore what is represented both stylistically and conceptually by the paradigm of windows and frames provides a useful tool for many applications of visual analysis, despite some pesky exceptions to the system. Possibly these variations could be reconciled as well at a metatheoretical level above this deep-flat paradigm, which is part of another project I have been exploring as well.

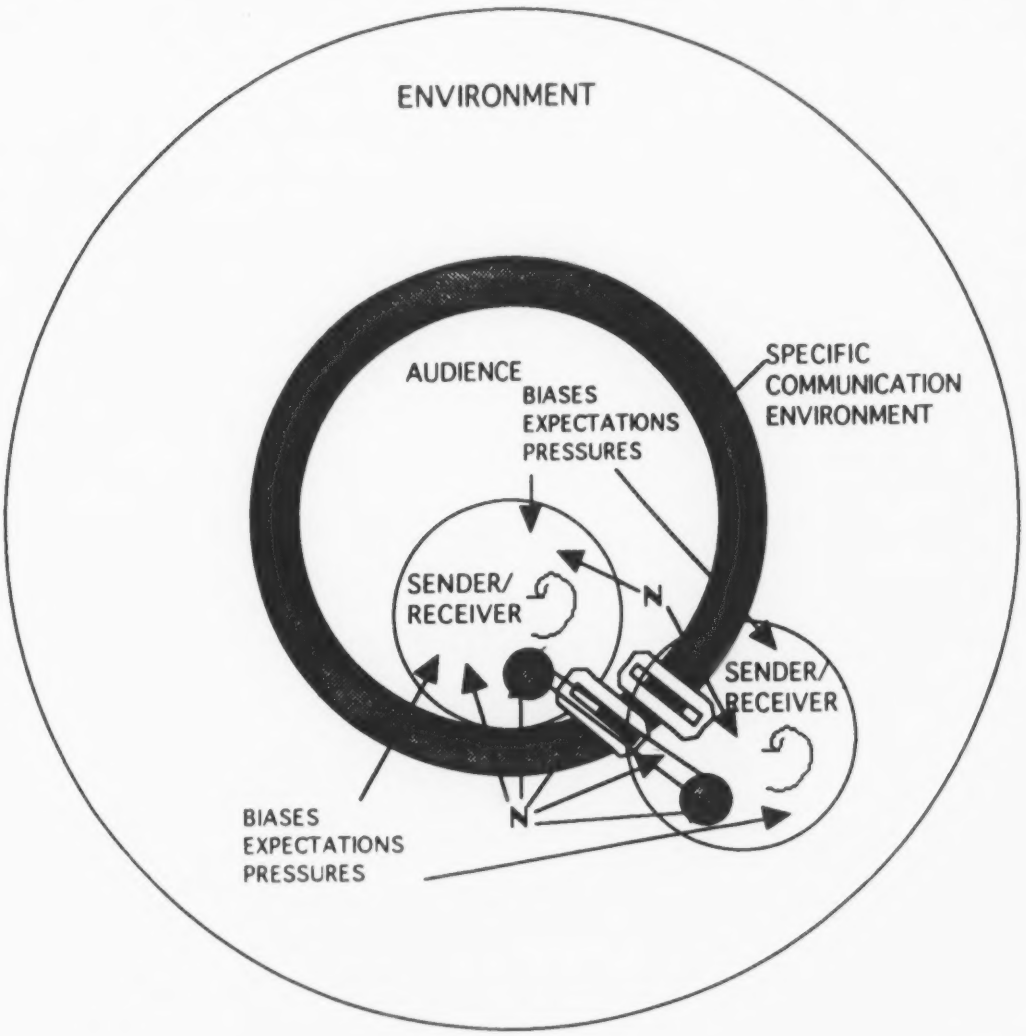
Visualizing Theory

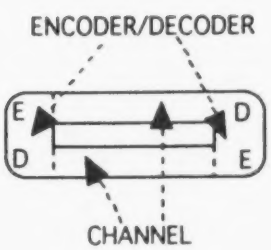
As detailed in the 1995 paper, I am interested in whether the deep and flat spatial analogies can be applied to the broader concept of interactional communication, possibly as a metaphor which can be incorporated into a general understanding of the field itself. From that earlier paper I will present again three variations on a general model of communication, all of which are somewhat inspired and informed by Brenda Dervin's gap theory, as developed in Dervin (1989a, 1989b, 1991, 1994) and Dervin and Clark (1989, 1993). The first, labeled as "Figure 1," retrieves my original model of interaction between critics and producers of multi-image slide-tape programs (which was part of my dissertation, establishing a system of applied criticism of these works which has been incorporated into the judging process of the annual Association for Multi-Media International competitive festival since 1981). Here the specific roles of critic and producer have been expanded into the general roles of communicating sender/receivers, which interchange as each participant is framed in a particular audience or larger environment context. What defines the audience in a given situation is the character of the specific communication environment in which the face-to-face or technologically mediated interchange occurs. This, for me, is the specific gap between the two communicators although other related gaps may result as well from intrapersonal, interpersonal, and sociological factors, all of which may have an impact on both communicators prior to the interchange as well as on their experiential reactions during the interchange.

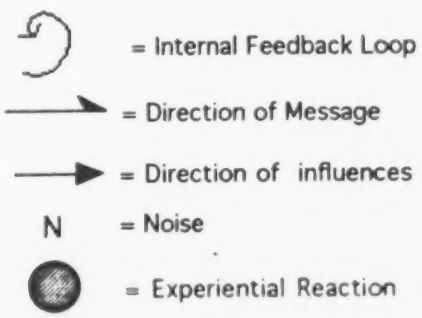
Whether a seeker initiates an information-gathering message (as sender) or is open to gathering one (as receiver) she or he will always simultaneously be part of a specific context (an audience of some sort, either physically or ideologically) and a general context (the larger physical and/or social environment). Each sense-seeking situation would provide a gap to be bridged between these contexts, optimally allowing the person (and possibly the whole audience group) to become more securely situated

Figure 1

A generic model of communication, based on Burke's (1977) model of multi-image communication and Dervin's (1989a, 1989b) gap theory.



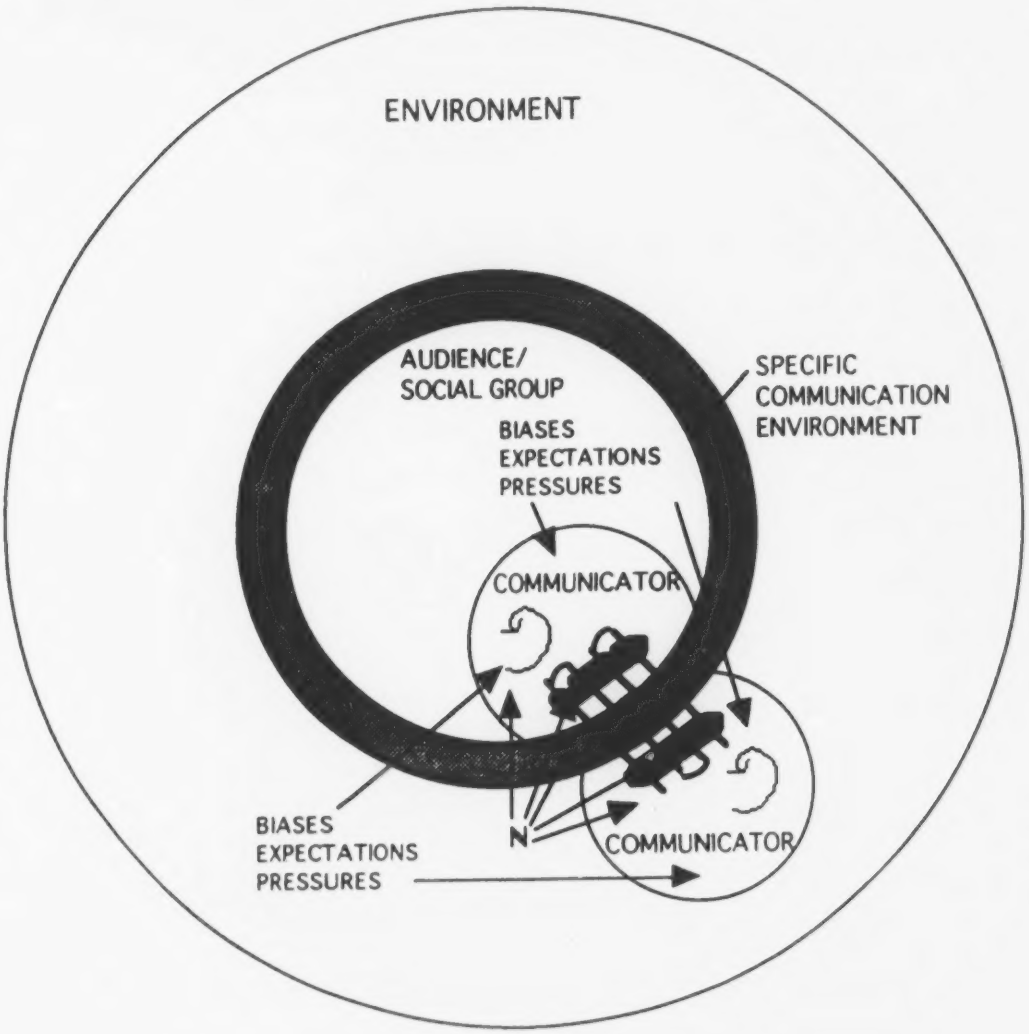




From "Mythical Structures in Community Vision" by Ken Burke, Paper, Central States Communication Association, April 1992

Figure 2

A generic model of communication, based on Burke's (1977) model of multi-image communication, Dervin's (1989a, 1989b) gap theory, and Pearce's (1994) serpentine model.



N = Noise

= Experiential Reaction

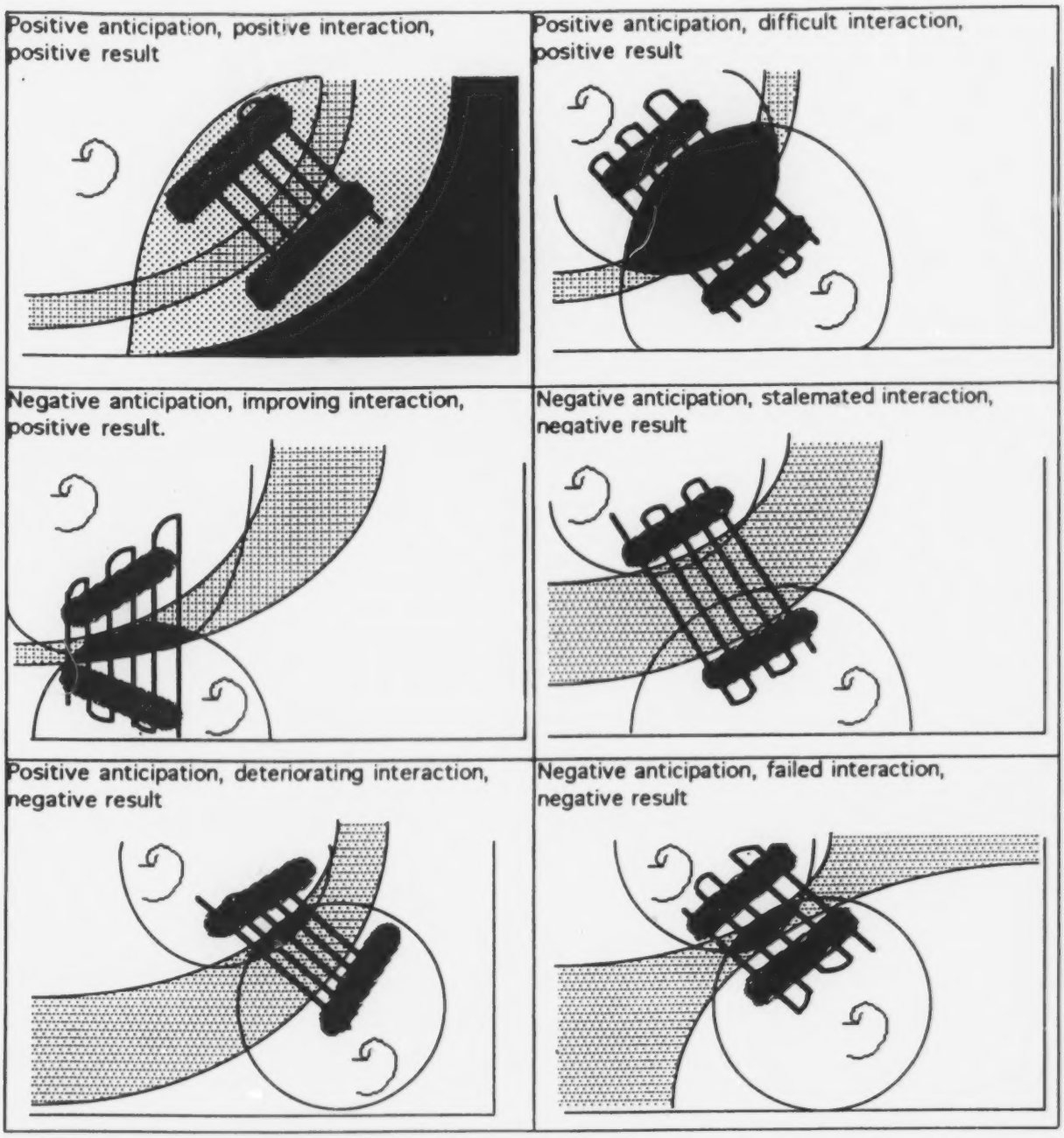
= Direction of Influences

= Internal Feedback Loop

= Message

Figure 3

Some likely patterns of humans communicating (Elaborations of Figure 2)



within the larger structure, through the various processes of formulating, generating, and sharing messages in a variety of encounters. Accordingly, the focus of a communication model as presented in "Figure 1" would be on both parties as seekers, with these gap-bridgers actively performing both of the traditional roles of sender and receiver, as circumstances warrant.

"Figure 2" is an attempt to modify this model somewhat in response to personal correspondence from Dervin, who felt that the terminology of "sender," "receiver," and "channel" still connote too much of a presupposed rather than a dynamic process (she did not care for "noise" either, but I have yet to understand a better way to conceptualize the inherent internal and external distractions and distortions that can occur in the gap-bridging process). Here I have changed the structure of the interchange from a vehicle of encoding and decoding, which was previously presented as being virtually a physical bridge that carried messages across a gap, to a combination of interactional concepts from Schramm (1971) and Pearce (1994).

As elaborated earlier, from Schramm comes the vital concept of overlapping frames of reference which says that no true communication will occur until the participants share some level of common translation and understanding (pp. 30-33). From Pearce comes the process of finding the shared frame of reference, which is the serpentine model (p. 31) named after the winding path by which communicators interact in exploring their frames of reference, at times drawing close together and at other times wandering far afield. "Figure 3" is simply a set of elaborations on this process, demonstrating variations on success and failure as communicators attempt to bridge the gaps that circumstances and their own personas have created. For purposes of this diagram, I have always begun the encounter with the "outside" communicator (generally placed in the lower right-hand area of the illustration)--even though any "initiation" is always the result of a myriad of influences that precede any specific communication experience--and I have limited these examples to be one of just six major variations of

anticipation, interaction, and result. Each of the "positive" or "improving" conditions could be quantified with a "+1" designation, while the other terms would represent a "-1" counterpart; thus, three of these six variations produce successful gap bridging, with a total positive "weight" of 2 or 3 in the encounter.[2]

However, another way to understand the structure and dynamics of these encounters is to refer again to the deep and flat (window and frame) metaphors from the visual analysis diagrams, with an eye toward incorporating these analogies into the exploration of the basic communication interchange. Specifically, in trying to understand the attitudes that communicators bring to the all-important gap-bridging opportunity (whether those attitudes will be activated in true interpersonal or technologically mediated conditions), we should ask how each participant views not only the presumed outcome but also the circumstances of the encounter. Does one or the other have a whole or partial "window" approach to the event, trying to focus on content, purpose, and results, in a manner similar to Pearce's (1994) third-person attitude:

> From a third-person perspective (i.e., as if we were not a part of the conversation), we can understand a conversation [and mediated encounters] as a game-like pattern of social interaction comprised of a sequence of acts, each of which evokes and responds to the acts of other persons [emphasis his]. (p. 31)

Likewise, the "frame" orientation may be what is driving both the anticipation and the serpent's progress of the interaction, with a "looking into" involvement that for Pearce:

> reminds us that from the first-person perspective, conversations [and mediated encounters] have to be made by doing something in a temporal context after someone has done something and before they do something else. From the perspective of the conversant, these doings are not a free choice; they are enmeshed in a logic of meaning and action that makes some action mandatory, optional, or prohibited [emphasis his]. (p. 28)

To me, the first person/flat/frame (border)/"looking into" cluster, as well as the third person/deep/window/"looking at" cluster, are connected concepts, so that presenting the interchangeability of these analogies is just another method of bringing interpersonal and mass communication perspectives together for better synergy. In this

larger context the material in my first five charts is interrelated to and serves as an understanding for the ways in which the communication process is conceptualized in "Figure 2" and its necessary enlargement into the variations of "Figure 3." But it is clear that the graphic limitations of two-dimensional charts render a full understanding of these concepts to be difficult when trying to encompass all relevant details and perspectives. What might help would be layered three-dimensional models that would display clarifying subtexts below primary texts (so that my more elaborated "Spectrum of Deep and Flat Relationships" would reveal the complexities of the "Narrative Film" and "Some Relationships between. . ." diagrams that inform the simpler chart). Another variation of this--and much more portable--would be a layered model on computer software that would allow elaborating subtexts to be "opened up" from figures or words on a basic model. Thus, my "Figure 2" rendition of the process of communication could be opened up to a new layer of information (the variations presented in "Figure 3") by clicking on the overlapped area over the shaded gap, just as clicking in the internal feedback loop area could open up a basic explanation of the window-frame attitudinal analogy, followed by other screens that reveal the complexities of what each of these metaphors entail. This would also include a separate explanation of the overlap in meaning between "frame" and "framing," along with my recommendation for evolving "frame" into "border."[3] The best version of all would be a CD-ROM or video disc that could then display actual examples of both the visual analogies and the various communication environment interchanges. Until the time that such elaborate models are produced, however, I will continue to encourage the use of as many simple charts as necessary to explain and finally connect these various ideas.[4]

Conclusion

It is my wish that this sharing of my "applied research" will have some benefit for anyone who is teaching or theorizing in any of the areas that are connected to my various courses and diagrams. While each of my charts has some grounding in one or

more established authors, my extrapolations are still unlike anything that I have seen elsewhere so they have been of great use to me in helping my students develop contexts that often elude them in exploring individual texts. Further, in that I have tried to develop and maintain connections among all of these various lines of exploration I have tried to contribute toward some unified system that students could integrate from course to course.

Along the way I have encountered some problematic inconsistencies, but they do not seem to me to be of such a nature as to seriously undermine the basic premises that I have presented. As I am able to add more to my understanding of the experiential nature of communication, my goal is that the current problems will be resolved or clarified along the way. In their present or future forms, then, I offer these models to the ongoing dialogue within the discipline in hopes that they do hold conceptual and contextual value for others and that they may contribute something useful toward a more unified, integrated understanding of the broad discipline of communication.

NOTES

[1]For a more elaborate comparison of various theorists on the functions of communication, including the differentiation of entertainment as maintenance ritual and vicarious expression from art as unique discovery, see Burke (1977-78, pp. 65-67), which includes yet another chart, this time of communication uses, functions, and activities. I have included a copy as Appendix A to this paper. On the chart the date for Lasswell refers to the original publication in Bryson (1948), which I can no longer directly access, so I have listed the Lasswell citation in Schramm and Roberts (1971).

[2]Just to clarify the graphic intentions of "Figure 3," let me note that the upper left illustration is colored slightly differently from the others. In this illustration the left-hand communicator (the one located within the "Audience" circle in "Figure 2") is rendered white and the right-hand communicator (the one located within the "Environment" circle in "Figure 2") is toned a dark grey. Otherwise, it might be difficult to discern that they are completely dominating the illustration, indicating the closeness of their positions at the onset of the interchange and the relative ease by which their gap is bridged; thus, for visual clarity, their overlapping frame of reference has been lightly toned so that their experiential reactions can be shown in proximity and still be read in the illustration.

The other illustrations in '"Figure 3" use a dark tone to show the relative impact of the frame of reference: unlike in the upper left illustration, where the frame of reference is so encompassing that the interaction is completely enclosed by it, the upper right illustration shows that the frame of reference is large but somewhat diffuse, so that the gap widens until it is finally clarified and bridged; the middle left illustration has a narrow frame of reference, as do both of the lower ones, to illustrate difficult situations which are either closed (left middle) or left unresolved (both lower); the middle right has no overlapping frame of reference, which is an automatic condition of hopeless frustration.

[3]As a wonderful (for me) example of diffusion of ideas, the suggested application of window, frame, and mirror concepts to aspects of communication beyond visual

analysis has been put to use by Susan Swan (then Univeristy of Cincinnati, now University of South Dakota) who encouraged her rhetorical theory students to incorporate the material contained in Burke (1995) and Rendahl (1995) into an analysis of the Disney animated feature Beauty and the Beast, in which the students (Duffield & Mays, 1995) analyzed the means by which the two protagonists "framed" and "mirrored" each other based on the "window" and "frame" attitudes they were bringing to the encounter. Once again, though, this application highlights the potential semantic confusion between "frame" and "framing" and demonstrates that the terms need to be better differentiated; thus, I now emphasize "deep" and "flat" in my diagram titles as a move toward clarity.

[4]Another visualization of theoretical constructs which has proven useful to me in teaching the interrelated but distinct areas of film and television theory and criticism is presented in Appendix B. This diagram, in its qualitative configurations, is based on M. H. Abrams' The Mirror and the Lamp (1953). It is from him that I took the initial concepts of aesthetic criteria being based either in fidelity to nature (mimesis), effects on the audience (pragmatism or rhetoric), the individual vision of the artist (expressionism), or the formal elements of the work itself (objectivism), with the various traditions coming largely from Plato, Aristotle, nineteenth and twentieth century philosophers respectively. I have: (1) connected each of these major schools of thought with fundamental components of the communication process (in brackets at the top of the chart); (2) added two primary considerations of more quantitative understandings of criticism (adapted from Kinneavy, 1971); (3) attempted to relate these major categories to various theoretical understanding of criticism (in bold, with important authors connected to each theory presented underneath in parenthesis); (4) added some important movements in film style to appropriate positions near the bottom of the chart; and (5) noted some other styles and movements in other arts below their appropriate qualitative categories. I take full responsibility for any misunderstandings of these diverse theories

or of improper placement in my chart, but I will also give credit for essential information on these schools of criticism to many authors, including Adams (1971), Adams and Searle (1986), Allen (1992), and Andrew (1976, 1984).

In its present stage I am not sure how self-explanatory this chart is to someone not familiar with its construction and application, but I welcome commentary on its organization and clarity, in hopes that I may improve its readability, if necessary, let alone its accuracy.

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Appendix A

Functions of Communication

Taken from Burke (1977-78), p. 65.

Functions of Communication

If a functional approach is important to pragmatic criticism of multimedia programs, there must be some clarification of what functions communication serves. The basic assumption here is that these functions are somewhat discrete. While any specific message probably uses elements from two or more functions, there is normally only one primary function stressed. Thus, an informational program may use some persuasive techniques and some entertaining devices, yet remain essentially an informational experience.

In Figure 2 the functions of communication are designated as information, instruction, persuasion, entertainment, and enrichment. This designation is a compilation from several writers, especially Cavert (1974) and Schramm (1971). Figure 4 is a diagram of various ideas on communication concerning message types, functions,

TYPE	ACTIVITY STRESSED	FUNCTION	PURPOSE
DIRECTIVE[1]	awareness, attention, comprehension*	INFORMATION[2,5]	surveillance[3]
	acquisition and retention of data and skills*	INSTRUCTION[2,5]	cultural transmission[3]
	yielding, acceptance, committment*	PERSUASION[2]	correlation (politics,[3] economics[4])
MAINTENANCE[1]	stabilization, routine work and conversation*	ENTERTAINMENT[2,5]	diversion,[4,7] ritual[6]
RESTORATIVE[1]	rebellion, vicarious sensory stimulation, pleasure*		
	expression, rapture, meditation*	ENRICHMENT[5]	discovery[7]

[1] Wiebe (1971)
[2] Schramm (1971)
[3] Lasswell (1948)
[4] Wright (1959)
[5] Cavert (1974)
[6] Carpenter (1973)
[7] Kaplan (1966)
* synthesis of all above

Figure 4. Types of messages as related to functions of messages.

Appendix B

Some Aspects of Aesthetic Theory and Criticism

A suggested organizational chart for courses in film and television theory and criticism, adapted partially from Abrams (1953) and Kinneavy (1971).

SOME ASPECTS OF AESTHETIC THEORY AND CRITICISM

QUALITATIVE				QUANTITATIVE	
NATURE [environment, channel, noise, feedback] (MIMESIS)	AUDIENCE [receiver] (PRAGMATISM or RHETORIC)	ARTIST [sender] (EXPRESSIONISM)	WORK [message] (OBJECTIVISM)	FORMAT	IMPACT
<-----PHENOMENOLOGY-----> (Husserl, Merleau-Ponty, Sartre)					
<----------DECONSTRUCTION----------> (Deridda, Barthes, Eco)					
<----------HERMENEUTICS----------> (Ricoeur)					
		<-----PSYCHOANALYTICAL-----> (Freud, Jung, Lacan, Metz)			
			<----LINGUISTIC----> SEMIOTICS (Saussure, Pierce, Metz)		
(Plato)	(Aristotle)		FORMALISM NEW CRITICISM (Frye)	STRUCTURALISM (Piaget, Levi-Strauss NARRATIVE THEORY Jakobson, Barthes) (Propp)	
				GENRE---------->	
Realism (Kracauer, Bazin)	(Pauline Kael) "Hollywood Genre" (Bazin)	German Expressionism Auteur (Truffaut, Sarris)	Montage (Eisenstein) "New Cinema" (Bergman, Godard, Antonioni, Resnais)	IDEOLOGICAL (Marx, Althusser, McLuhan)	
				FEMINIST---------->	
				COMMUNICATION THEORY Content Analysis	
Ancient, "Primitive" Classicism Neo-Classicism Impressionism Naturalism Photo-Realism	Classic Theatre Classical Music Medieval, Renaissance, Baroque, Rococo Elizabethan Drama Realism Epic Theatre	Romanticism Symbolism Expressionism, Fauvism Dada, Surrealism Abstract Expressionism	Cubism, Futurism Modernist Poetry and Film Concrete Music Theatre of the Absurd Music and Dance of Chance Happenings, Performance Art Magic Realism		

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